



WJT003-0036 (SP03-081)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Stephen J. Caracci, et al

Serial No: 10/632,276

Filed: August 1, 2003

For: SUBSTRATE INDEX  
MODIFICATION FOR INCREASING  
THE SENSITIVITY OF GRATING-  
COUPLED WAVEGUIDES

Examiner: Kaveh C. Kianni

Group Art Unit: 2883

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. §§ 1.56, 1.97 – 1.98**

Mail Stop Amendment  
Commissioner of Patents  
Alexandria, VA 22313-1450

Dear Sir:

The Examiner's attention is hereby directed to the following reference(s) listed on the attached Form PTO-1449 for consideration in connection with the examination of the above-identified patent application. **One copy of any non-US patent is enclosed.**

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the enclosed documents constitute "prior art." If it should be determined that any of the submitted documents do not constitute "prior art" under United States law, applicant(s) reserve the right to present to the office the relevant facts and law regarding the appropriate status of such documents.

Applicant(s) further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the enclosed references, should one or more of the references be applied against the claims of the present application.

03/15/2005 EABUBAK1 00000125 501481 10632276

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180.00 DP

Respectfully submitted,

Will. J. Tucker

William J. Tucker  
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Date: March 11, 2005

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Mail Stop Amendment, Commissioner of Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on March 10, 2005

Date of Deposit

William J. Tucker

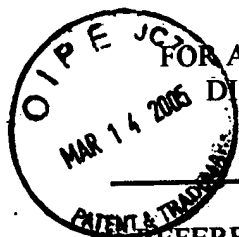
Name of applicant, assignee, or  
Registered Representative

Will. J. Tucker

Signature

March 11, 2005

Date of Signature



FORM PTO-1449 (MODIFIED)	ATTORNEY DOCKET NO. WJT003-0036 (SP03-081)	SERIAL NO. 10/632,276
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANTS INFORMATION DISCLOSURE STATEMENT	APPLICANT Stephen J. Caracci, et al.	
	FILING DATE August 1, 2003	GROUP: 2883

REFERENCE DESIGNATION				U.S. PATENT DOCUMENTS			
Examiner Initial		Document Number	Date	Name	Class	Sub-Class	Filing Date if Approp.
	AA	2003/0017580	01-23-03	B. Cunningham et al.	435	287.2	
	AB	2003/0017581	01-23-03	Peter Li et al.	435	287.2	
	AC	2003/0026891	02-06-03	Jean Qiu et al.	427	58	
	AD	2003/0027327	02-06-03	B. Cunningham et al.	435	287.2	
	AE	2003/0032039	02-13-03	B. Cunningham et al.	435	6	
	AF	2003/0059855	03-27-03	B. Cunningham et al.	435	7.9	
	AG	2003/0068657	04-10-03	Bo Lin et al.	435	7.9	
	AH	2003/0077660	04-24-03	Homer Pien et al.	435	7.1	
	AI	2003/0092075	05-15-03	Jane W. Pepper	435	7.9	
	AJ	2003/0113766	06-19-03	Jane W. Pepper et al.	435	6	
	AK	2004/0132172	07-08-04	B. Cunningham et al.	435	287.2	

FOREIGN PATENT DOCUMENTS							
		Document Number	Date	Country	Class	Sub-Class	Translation Yes No
	AL						
	AM						
	AN						
	AO						
	AP						
	AQ						

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)	
	AR
	AS
	AT
	AU
	AV
	AW

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609: draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>FORM PTO-1449 (MODIFIED)</b>  <b>LIST OF PATENTS AND PUBLICATIONS</b> <b>FOR APPLICANTS INFORMATION</b> <b>DISCLOSURE STATEMENT</b>	<b>ATTORNEY DOCKET NO.</b>  WJT003-0036 (SP03-081)	<b>SERIAL NO.</b>  10/632,276
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	<b>FILING DATE</b> August 1, 2003	<b>GROUP:</b> 2883

REFERENCE DESIGNATION				U.S. PATENT DOCUMENTS			
Examiner Initial		Document Number	Date	Name	Class	Sub-Class	Filing Date if Approp.
	AA	2004/0132214	07-08-04	Bo Lin et al.	436	518	
	AB	2004/0151626	08-05-04	B. Cunningham et al.	422	58	
	AC	2004/0223881	11-11-04	B. Cunningham et al.	422	82.05	
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

FOREIGN PATENT DOCUMENTS							
		Document Number	Date	Country	Class	Sub-Class	Translation Yes No
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